



**Office of Enterprise Compliance**

P.O. Box 942701

Sacramento, CA 94229-2701

Telecommunications Device for the Deaf - (916) 795-3240

(916) 795-0580, FAX (916) 795-0660

November 13, 2007

**AGENDA ITEM 6**

**TO: MEMBERS OF THE FINANCE COMMITTEE**

**I. SUBJECT:** Office of Enterprise Compliance Quarterly Report

**II. PROGRAM:** Compliance

**III. RECOMMENDATION:** Information Only

**IV. ANALYSIS:**

The attached Quarterly Status Report provides an update of the Annual Plan from the Office of Enterprise Compliance.

**V. STRATEGIC PLAN:**

This item is not a specific product of the Strategic Plan but is part of the regular and ongoing workload planned for the Office of Enterprise Compliance.

**VI. RESULTS/COSTS:**

N/A

**VII. ATTACHMENTS**

The following attachment is included in this agenda item:  
Attachment A - Office of Enterprise Compliance Quarterly Status Report

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Sherry A. Johnstone  
Chief Compliance Officer

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Peter H. Mixon  
General Counsel